

2006

National Institute of Standards and Technology
Technology Administration • Department of Commerce
Baldrige National Quality Program

ethics

Baldrige Award Application Forms



accomplishment

recognition



The Malcolm Baldrige National Quality Award

The Award crystal, composed of two solid crystal prismatic forms, stands 14 inches tall. The crystal is held in a base of black anodized aluminum, with the Award recipient's name engraved on the base. A 22-karat gold-plated medallion is captured in the front section of the crystal. The medal bears the inscriptions "Malcolm Baldrige National Quality Award" and "The Quest for Excellence" on one side and the Presidential Seal on the other.

The President of the United States traditionally presents the Awards at a special ceremony in Washington, D.C. Awards are made annually to recognize U.S. organizations for performance excellence. The Award eligibility categories are

- manufacturing businesses
- service businesses
- small businesses
- education organizations
- health care organizations

Award recipients may publicize and advertise their Awards. Recipients are expected to share information about their successful performance strategies with other U.S. organizations.

Opportunity to Increase Organizational Learning Using the Baldrige Criteria

The Baldrige National Quality Program will provide organizations submitting Eligibility Certification Packages on or before March 10, 2006, with a "hands-on" opportunity to increase their organizations' understanding and use of the Baldrige Criteria. We invite one senior member of each applicant organization to become a member of the 2006 Board of Examiners. The opportunity to learn and the required commitment of time are substantial. The opportunity to learn includes gaining a better understanding of the Baldrige Criteria and seeing how they are used in high-performance organizations, as well as developing a new network of professional colleagues. The time commitment is 110 hours minimum from April to December (including approximately 40 hours in April/May to complete prework for the Examiner Preparation Course, 4 days in May to attend the preparation course, and another 35–50 hours in June to complete a Stage 1, Independent Review). If requested by the Program, Examiners also are expected to participate in the Stage 2, Consensus Review (approximately 25 hours) and Stage 3, Site Visit Review (approximately 9 days). To take advantage of this opportunity, an organization must ensure its Eligibility Certification Package is postmarked on or before March 10, 2006. The Eligibility Certification Form and Additional Information Needed Form can be found on pages 12–18 and 20–21, respectively, of this document, and Microsoft Word versions of these forms are available online at www.baldrige.nist.gov/Award_Application.



Crystal by Steuben



Baldridge National Quality Program

National Institute of Standards and Technology • Technology Administration • Department of Commerce

January 2006

Congratulations!

By supplementing your copy of the *2006 Criteria for Performance Excellence* with a copy of the *2006 Baldridge Award Application Forms* booklet, you have taken the second step in using the Baldridge process to improve your organization's performance and growth. Now it is time to consider taking the next step—applying for the Award.

For a nominal application fee, determined by the size and nature of your organization, your application will receive at least 300 hours of review by several experts selected for their depth and breadth of knowledge. Site-visited organizations receive more than 1,000 hours of in-depth review. Each applicant receives an extensive feedback report.

Because of the learning inherent in completing the application and in the feedback you will receive, the effort that goes into applying for the Award should result in a significant return on your investment. The process will help you prioritize opportunities for improvement and identify strengths to celebrate. As a result, the rate at which your organization improves should accelerate.

To further increase your organizational learning, we will provide a guaranteed slot for a senior employee of your organization to be a member of the 2006 Board of Examiners. If you are interested in taking advantage of this opportunity, you must submit your Eligibility Certification Form and the Additional Information Needed Form on or before March 10, 2006. You may use the forms in this document or the Microsoft Word versions of these forms, which are available online at www.baldrige.nist.gov/Award_Application.

Every Baldridge Award recipient's journey toward performance excellence includes using the application process as part of the organization's improvement and strategic planning process. Many of our recipients apply several times before receiving the Award, while others receive the Award on their first attempt. They *all* report that the process is worthwhile. The Baldridge process is designed to make each applicant a "winner" by raising its performance to a higher level. Consider making the decision to apply now and accelerate the rate of your organization's performance improvement. As thousands of organizations can attest, your organization will be better for it!

Sincerely yours,

Harry S. Hertz, Director
Baldridge National Quality Program

2006 Changes

Eligibility

In the self-certification process, eligibility applicants are now asked to provide not only a list of key suppliers but also a list of key partners.

Application

Depending on the number of employees, up to five subunits of a single parent organization may apply for the Award during the same Award cycle.

Confidentiality Considerations

The evaluation of applicants, especially at later stages of the Award process (i.e., Stage 2, Consensus Review and Stage 3, Site Visit Review) requires Examiners to share information with each other. This involves talking on the telephone and exchanging written materials. To protect the confidentiality of applicants, the Baldrige Office has always required that Examiners

refer to applicants by an identifying number only, in both oral and written communications. In addition, Examiners have not been allowed to use portable phones, cell phones, or Voice over Internet Protocol (VoIP) for their discussions, even though the applicant's name is never used.

Because the use of these technologies has become pervasive in recent years and most organizations use them internally, the Baldrige Office is reexamining the need for these restrictions. We will maintain our policy of using applicants' identifying numbers, not names, in all communications. However, we would like you to indicate whether the Examiners who will be evaluating your application may use cell phones, cordless phones, and VoIP to discuss your application. Therefore, item 12 of the Eligibility Certification Form now asks whether you authorize Examiners to use these technologies. We will honor your choice.

Contents

| | |
|---|---|
| 1 | The Malcolm Baldrige National Quality Award and Award Process |
|---|---|

| | |
|---|---|
| 3 | 2006 Baldrige Award Program Processes and Time Frames |
|---|---|

| | |
|---|-------------------------------|
| 4 | Fees for the 2006 Award Cycle |
|---|-------------------------------|

| | |
|---|---|
| 5 | 2006 Eligibility Certification Overview |
|---|---|

| | |
|---|------------|
| 5 | I. Purpose |
|---|------------|

| | |
|---|---------------|
| 5 | II. Objective |
|---|---------------|

| | |
|---|------------------------------|
| 5 | III. Submission Requirements |
|---|------------------------------|

| | |
|---|-------------------------------|
| 5 | IV. Eligibility Certification |
|---|-------------------------------|

| | |
|---|---------------------------|
| 5 | V. Eligibility Categories |
|---|---------------------------|

| | |
|---|---------------------------------|
| 6 | VI. Restrictions on Eligibility |
|---|---------------------------------|

| | |
|---|-------------------------|
| 8 | VII. Other Requirements |
|---|-------------------------|

| | |
|---|--|
| 9 | 2006 Eligibility Certification Form—Instructions |
|---|--|

| | |
|----|-------------------------------------|
| 12 | 2006 Eligibility Certification Form |
|----|-------------------------------------|

| | |
|----|--|
| 19 | 2006 Additional Information Needed Form—Instructions |
|----|--|

| | |
|----|---|
| 20 | 2006 Additional Information Needed Form |
|----|---|

| | |
|----|--|
| 22 | 2006 Eligibility Certification Package Checklist |
|----|--|

| | |
|----|---|
| 24 | North American Industry Classification System (NAICS) Codes |
|----|---|

| | |
|----|---|
| 25 | 2006 Award Application Package—Instructions |
|----|---|

| | |
|----|------------|
| 25 | I. Purpose |
|----|------------|

| | |
|----|---------------|
| 25 | II. Objective |
|----|---------------|

| | |
|----|---------------------------|
| 25 | III. Content Requirements |
|----|---------------------------|

| | |
|----|-----------------------------------|
| 26 | IV. Application Report Components |
|----|-----------------------------------|

| | |
|----|------------------------|
| 27 | V. Format Requirements |
|----|------------------------|

| | |
|----|---------------------------|
| 28 | VI. Assembly Requirements |
|----|---------------------------|

| | |
|----|------------------------------|
| 28 | VII. Submission Requirements |
|----|------------------------------|

| | |
|----|------------------------------------|
| 30 | 2006 Application Form—Instructions |
|----|------------------------------------|

| | |
|----|-----------------------|
| 32 | 2006 Application Form |
|----|-----------------------|

| | |
|----|--|
| 34 | 2006 Award Application Package Checklist |
|----|--|

| | |
|----|--|
| 35 | How to Obtain Copies of Baldrige Program Materials |
|----|--|

| | |
|----|---|
| 37 | The Quest for Excellence XVIII Conference |
|----|---|

| | |
|----|-----------------------------------|
| 37 | Paperwork Reduction Act Statement |
|----|-----------------------------------|

The Malcolm Baldrige National Quality Award logo and the phrases “The Quest for Excellence” and “Performance Excellence” are trademarks and service marks of the National Institute of Standards and Technology.

The Malcolm Baldrige National Quality Award and Award Process

What is the purpose of this booklet?

The purpose of this booklet is to provide instructions and forms for (1) certifying eligibility to participate in the Malcolm Baldrige National Quality Award process and (2) applying for the Award.

What is the Malcolm Baldrige National Quality Award?

The Malcolm Baldrige National Quality Award, created by public law in 1987, is the highest level of national recognition for performance excellence that a U.S. organization can receive.

The major focus of the Award is on performance in six key areas: product and service outcomes, customer focus, financial and market performance, human resources, organizational effectiveness, and leadership and social responsibility. It is *not* given for specific products or services. To be selected as an Award recipient, an organization must have a system that ensures continuous improvement in overall performance in the delivery of products and/or services and that provides an approach for satisfying and responding to customers and stakeholders.

Up to three Awards may be given annually in each of five eligibility categories: manufacturing businesses, service businesses, small businesses, education organizations, and health care organizations.

Why was the Award established?

The Award was established to promote the awareness of performance excellence as an increasingly important element in competitiveness. Not only does it recognize excellent organizations, the Award also aims to increase the understanding of the requirements for performance excellence. To accomplish this, the Award promotes information sharing on successful performance strategies and the benefits derived from implementation of these strategies.

Who may participate?

Organizations that may apply include privately and publicly owned for-profit businesses headquartered in the United States and its territories; for-profit and nonprofit public, private, and government education organizations that provide education services to students in the United States and its territories; and for-profit and nonprofit public, private, and government health care organizations that are located in the United States and its territories and are primarily engaged in providing medical, surgical, or other health care

services directly to people. Subunits of organizations may apply if they meet certain requirements.

Who is involved with the Award process?

National Institute of Standards and Technology: The Department of Commerce is responsible for the Baldrige National Quality Program and the Award. The National Institute of Standards and Technology (NIST), an agency of the Department's Technology Administration, manages the Award Program.

American Society for Quality: Under contract to NIST, the American Society for Quality (ASQ) assists in administering the Award Program.

Board of Examiners: The Board of Examiners evaluates Award applications and prepares feedback reports for the applicants. The board consists of leading experts from U.S. businesses and health care, education, and nonprofit organizations.

Panel of Judges: This panel, which is part of the Board of Examiners, selects Award applicants to undergo site visits and recommends Award recipients. Judges are appointed by the Secretary of Commerce from all sectors of the U.S. economy.

Board of Overseers: This board is appointed by the Secretary of Commerce and is the advisory organization on the Baldrige National Quality Program to the Department of Commerce. The board consists of distinguished leaders from all sectors of the U.S. economy.

The Foundation for the Malcolm Baldrige National Quality Award: The Foundation raises funds to permanently endow the Award Program and manages the endowment.

Some of the seven Baldrige Criteria Categories have different names in the sector-specific Criteria for Performance Excellence booklets. How do the Criteria Categories for Education and Health Care differ from the Business Criteria Categories?

There is a very close alignment among all three Criteria and their related Categories. Three of the Categories—Category 1, Leadership; Category 2, Strategic Planning; and Category 4, Measurement, Analysis, and Knowledge Management—have the same title in all three Criteria. The other four Categories have different titles that reflect differences in terminology among the three sectors. For example, in the *Criteria for Performance Excellence*, Category 3 is called “Customer and Market Focus.” That same

Category is called “Student, Stakeholder, and Market Focus” in the *Education Criteria for Performance Excellence* and “Focus on Patients, Other Customers, and Markets” in the *Health Care Criteria for Performance Excellence*.

What is the basis for the Criteria?

Criteria are developed from the state-of-the-art learning of private- and public-sector organizations that are working to achieve organizational performance excellence. The Criteria reflect validated, leading-edge practices for achieving performance excellence.

How do applicants benefit from applying for the Award?

Each applicant gains an outside perspective on its organization based on 300 to 1,000 hours of review by members of the Board of Examiners. The results of this review are synthesized in a feedback report outlining strengths and opportunities for improvement based on the Criteria. Feedback reports are often used by organizations as part of their strategic planning process to focus on their customers and to improve results, as well as to help energize and guide their organizational improvement efforts.

How are Award recipients selected?

Award applications are reviewed by a team from the Board of Examiners. The higher-scoring applicants receive site visits. The Panel of Judges reviews information obtained during these site visits and, based on this review, recommends Award recipients from among the site-visited organizations. The Secretary of Commerce then makes the final selection of Award recipients.

What does an organization receive if it is an Award recipient?

Each Award recipient receives a crystal trophy bearing a gold-plated medallion with the inscriptions “Malcolm Baldrige National Quality Award” and “The Quest for Excellence.” The President of the United States traditionally presents the Awards at a special ceremony in Washington, D.C. Award recipients may publicize and advertise their Awards.

Is the identity of applicants and the information submitted made available to the public?

The identity of all applicants remains confidential unless the applicant is selected as an Award recipient. Information submitted by applicants also is treated as confidential.

What is expected of Award recipients?

Award recipients are required to share information about their exceptional performance practices with other U.S. organizations. However, recipients are not required to share proprietary information, even if such information was part of their Award application. The principal mechanisms for sharing information are the annual Quest for Excellence® Conference, highlighted on page 37 of this document, and several one-day regional conferences. Sharing beyond The Quest for Excellence Conference is on a voluntary basis.

How do organizations apply?

Applying for the Award is a two-step process. The first step is eligibility certification, when the organization certifies that it meets eligibility requirements. Instructions and forms for certifying eligibility begin on page 9.

Once eligibility has been certified, the second step consists of preparing and completing an Application Package, including an application form and an application report. The application report must summarize the organization’s practices and results in response to the requirements delineated in the Items of the Criteria for Performance Excellence. Instructions and forms for applying for the Award begin on page 25.

If you plan to apply for the Award in 2006, you also will need the appropriate *2006 Criteria for Performance Excellence* (Business, Education, or Health Care) for your particular organization. Ordering information is given on page 35.

**Eligibility Certification Package
with a nomination to the Board of Examiners
due March 10, 2006**

**Eligibility Certification Package
without a nomination to the Board of
Examiners due April 11, 2006**

**Award Application Package
submitted on a CD
due May 11, 2006**

**Award Application Package
submitted on paper copies
due May 25, 2006**

2006 Baldrige Award Program Processes and Time Frames

Eligibility Certification

(Package postmarked to ASQ by **April 11, 2006**, OR **March 10, 2006**, for eligibility certification with a nomination to the Board of Examiners)

Prepare and submit the Eligibility Certification Package postmarked no later than **April 11, 2006 (March 10, 2006**, for eligibility certification with a nomination to the Board of Examiners) to certify eligibility in one of five Award categories: manufacturing, service, small business, education, and health care. Remember to submit the nonrefundable eligibility certification filing fee with the Eligibility Certification Package. (See the box on page 4.)

Note: In the event of multiple submissions from one parent organization, while all may be found eligible, the number of applicants for the Award will be determined by Rule VI.C., found on page 8.

Award Application

(Package postmarked to ASQ by **May 25, 2006**, for paper copies OR **May 11, 2006**, if submitting on a CD)

If submitting paper copies, prepare and submit 25 copies of the application report with the application fee(s), postmarked no later than **May 25, 2006**. If the application report is submitted on a CD, the package must be postmarked by **May 11, 2006**. The application fee, which must be included as part of the Award Application Package, covers expenses associated with the review of applications and the development of feedback reports. Fees are detailed on page 4.

Stage 1, Independent Review (June–August 2006)

The Application Package is reviewed independently by members of the Board of Examiners. At the conclusion of this review, the Panel of Judges determines which applicants advance to Stage 2, Consensus Review. At each stage, applicants receive every reasonable consideration to advance to the next stage.

Stage 2, Consensus Review (August–September 2006)

The Application Package is reviewed jointly by a team of Examiners, led by a Senior Examiner. At the conclusion of this review, the Panel of Judges determines which applicants will receive site visits.

Stage 3, Site Visit Review (October–November 2006)

A team of six to eight members of the Board of Examiners, led by a Senior Examiner, conducts on-site verification and clarification of the Application Package. Site visits consist primarily of a review of pertinent records and data and interviews with senior leaders and employees. No site visits are conducted outside the United States or its territories. Following the site visit, the site visit team submits its report to the Panel of Judges.

If an organization is chosen for a site visit, the organization is responsible for paying a site visit fee, which helps cover expenses associated with the site visit. More information on site visit fees is given on page 4. Additionally, the organization is expected to provide updates for all results provided in the application. These updates become part of the official application.

Judges Review (November 2006)

The Panel of Judges conducts final reviews and recommends Award recipients to the Director of NIST, who conveys the recommendations to the Secretary of Commerce. The Secretary of Commerce makes the final determination of Award recipients.

Role Model Determination: The Secretary of Commerce and the Director of NIST are responsible for determining that recommended Award recipients are appropriate role models and, therefore, should be approved for the Malcolm Baldrige National Quality Award. The purpose of this determination is to help ensure that the Award's integrity is preserved.

In determining role models, NIST conducts record checks on site-visited applicants and the highest-ranking official to verify that they are in compliance with legal and regulatory requirements. The records checked include those of the Internal Revenue Service, the Federal Bureau of Investigation, the Bureau of Export Administration, the General Services Administration, the Equal Employment Opportunity Commission, the Occupational Health and Safety Administration, and local police and judicial offices in the jurisdiction of the applicant's headquarters. No new or independent investigations are conducted.

Each applicant, including Award recipients, receives a feedback report. Feedback reports are prepared and distributed after it is determined either that the applicant will not move to the next stage of consideration for the Award or that the applicant is an Award recipient. Feedback reports are prepared by members of the Board of Examiners based on applicants' responses to the Criteria for Performance Excellence. The feedback reports contain applicant-specific descriptions of strengths and opportunities for improvement based on the Criteria for Performance Excellence.

The President of the United States traditionally presents the Award at a special ceremony in Washington, D.C.

Feedback Reports (September–December 2006)

Award Ceremony (Winter 2007)

Fees for the 2006 Award Cycle

Eligibility Certification Filing Fee: For the 2006 Award cycle, a nonrefundable fee of \$150 must be submitted to ASQ along with the Eligibility Certification Package postmarked **no later than April 11, 2006 (March 10, 2006, for eligibility certification with a nomination to the Board of Examiners)**.

Application Fee: The chart below shows the 2006 application fee for various types of organizations. For the 2006 Award cycle, the appropriate fee must be submitted to ASQ with the Award Application Package postmarked no later than **May 25, 2006, for paper copies (May 11, 2006, if submitted on a CD*)**.

| AWARD CATEGORY | ELIGIBILITY FEE | APPLICATION FEE* | SUPPLEMENTAL SECTION FEE (IF APPLICABLE)** | SITE VISIT FEE USUAL RANGE (IF APPLICABLE)*** |
|---|-----------------|------------------|--|---|
| MANUFACTURING | \$150 | \$5,000 | \$2,000 | \$20,000–\$35,000 |
| SERVICE | \$150 | \$5,000 | \$2,000 | \$20,000–\$35,000 |
| SMALL BUSINESS | \$150 | \$2,000 | \$1,000 | \$10,000–\$17,000 |
| EDUCATION NONPROFIT | \$150 | \$500 | \$250 | \$1,500 |
| EDUCATION FOR-PROFIT >500 FACULTY/STAFF | \$150 | \$5,000 | \$2,000 | \$20,000–\$35,000 |
| EDUCATION FOR-PROFIT 500 OR FEWER FACULTY/STAFF | \$150 | \$2,000 | \$1,000 | \$10,000–\$17,000 |
| HEALTH CARE >500 STAFF | \$150 | \$5,000 | \$2,000 | \$20,000–\$35,000 |
| HEALTH CARE 500 OR FEWER STAFF | \$150 | \$2,000 | \$1,000 | \$10,000–\$17,000 |

*An additional processing fee of \$1,250 is required for applications submitted on a CD.

Supplemental sections are **not applicable for applicants with (a) a single performance system that supports all of their product and/or service lines and (b) products or services that are essentially similar in terms of customers and/or users, technology, types of employees, and planning. For a description of a supplemental section, see page 25.

***Site Visit Review Fee

This fee is paid only by applicants receiving site visits. The fee is set when visits are scheduled and is dependent on a number of factors, including the number of sites to be visited, the number of Examiners assigned, and the duration of the visit.

The site visit fee for applicants with more than 500 employees in the manufacturing, service, for-profit education, and health care sectors usually ranges between \$20,000 and \$35,000. The site visit fee for small businesses, for-profit education organizations with 500 or fewer faculty/staff, and health care organizations with 500 or fewer staff is approximately one-half that rate. In 2006, the site visit fee for nonprofit education organizations is \$1,500. The site visit fee for all organizations is due to ASQ two weeks after completion of the site visit.

2006 Eligibility Certification Overview

I. Purpose

The purpose of this section is to provide applicants with information on the eligibility certification process, which is the first step in applying for the Malcolm Baldrige National Quality Award. This information describes the eligibility categories and eligibility restrictions and then provides step-by-step instructions on how to complete the Eligibility Certification Form, the Additional Information Needed Form, and other portions of the Eligibility Certification Package.

II. Objective

The objective of the Eligibility Certification Package is to provide sufficient information to certify whether the organization is eligible to apply for the Award. In addition, the package presents a useful profile of the organization and often is the first information about the applicant read by Examiners. The information also is used by the Baldrige National Quality Program Office to avoid conflicts of interest when assigning applications to Examiners.

Applicants self-certify their eligibility to participate in the Award process. The role of the Baldrige Office in the self-certification process is to assist with and offer advice on any questions or issues that applicants may have concerning the process itself or the completion of the required forms included in this document. Once the completed Eligibility Certification Package is submitted, applicants may begin work on the Award application report. Notification of eligibility by the Baldrige Office is not required.

The Baldrige Office relies on the information contained in the self-certification forms that are submitted. If at any time during the Award cycle the information is found to be inaccurate, deeming the applicant ineligible, the Baldrige Office may remove the applicant from Award eligibility. Should this occur, the applicant would be eligible for a feedback report only.

III. Submission Requirements

A. Eligibility Certification Package

The Eligibility Certification Package consists of the following materials. All information provided is considered confidential.

1. A completed **Eligibility Certification Form** must be signed by the highest-ranking official of the organization.
2. **An organization chart(s) and other required documents** described in the Eligibility Certification Form—Instructions must be included.
3. A completed **Additional Information Needed Form** must accompany the Eligibility Certification Form.
4. **Fee**—A check or money order made payable to the **Malcolm Baldrige National Quality Award** (or credit card information) for the \$150 nonrefundable fee must be attached to the Eligibility Certification Package.

B. Submission

Potential applicants for the 2006 Award are encouraged to submit the Eligibility Certification Package to ASQ as early as possible. **The package must be postmarked no later than April 11, 2006 (March 10, 2006, for eligibility certification with a nomination to the Board of Examiners).** See page 23 for ASQ's address.

IV. Eligibility Certification

The Eligibility Certification Package will be reviewed promptly. If clarification is required, the designated Eligibility Contact Point or alternate will be contacted.

V. Eligibility Categories

Public Law 100-107 established the three business eligibility categories of the Award: manufacturing, service, and small business. In 1998, legislation expanded eligibility to education and health care organizations. Eligibility for the Award is intended to be as open as possible.

A. Business

Any for-profit business headquartered in the United States or its territories, including U.S. subunits of foreign companies, may apply for the Award. For-profit businesses include domestic or foreign-owned companies, joint ventures, corporations, sole proprietorships, partnerships, and holding companies—publicly or privately owned.

Note: Local, state, and federal government agencies; nonprofit organizations; trade associations; and professional societies are not eligible for the business categories.

The three business categories are defined as follows:

1. Manufacturing

- Organizations and some subunits (see VI. Restrictions on Eligibility, Part B on pages 7–8) that produce and sell manufactured products or manufacturing processes.
- Companies that produce agricultural, mining, or construction products. (See North American Industry Classification System [NAICS] codes on page 24.)

2. Service

Organizations and some subunits that provide or sell services.

Note: Where an applicant is both a manufacturer and a service provider, the appropriate eligibility category is the activity that provides the larger percentage of sales.

3. Small Business

Organizations with 500 or fewer employees that are engaged in manufacturing and/or the provision of services.

B. Education

Participation is open to for-profit and nonprofit public, private, and government organizations and some subunits—including U.S. subunits of foreign organizations—that provide education (teaching and instructional) services to students in the United States or its territories. Eligibility is intended to be as open as possible. For example, eligible organizations include elementary and secondary schools and school districts; colleges, universities, and university systems; schools or colleges within universities; professional schools; community colleges; and technical schools. More than 50 percent of all faculty and staff members and/or the budget must be devoted to providing teaching/instructional services directly to students.

Departments within schools or colleges are ineligible.

Note: For-profit education organizations may choose to apply under the service or small business category,

as appropriate, using the Business Criteria, or under the education category, using the Education Criteria.

C. Health Care

Participation is open to for-profit and nonprofit public, private, and government organizations and some subunits—including U.S. subunits of foreign organizations—located in the United States or its territories. These organizations must be engaged primarily in providing medical, surgical, or other health care services directly to people. Eligibility is intended to be as open as possible. For example, eligible organizations include hospitals, health maintenance organizations, long-term care facilities, health care practitioners' offices, home health agencies, and dialysis and ambulatory surgery centers.

Organizations that do not directly provide health services to people, such as social service agencies, health insurance companies, or medical/dental laboratories, are ineligible under this category. However, such organizations—if they are for-profit—might be eligible under the service or small business categories. More than 50 percent of all staff members and/or the budget must be devoted to providing health care services directly to people.

Note: For-profit health care organizations may choose to apply under the service or small business category, as appropriate, using the Business Criteria, or under the health care category, using the Health Care Criteria. When an applicant is both an education organization and a provider of health care services to people, the appropriate eligibility category is the activity that represents the larger percentage of its budget.

VI. Restrictions on Eligibility

The following restrictions and conditions ensure fairness and consistency.

A. Conditions

1. The applicant must have been in existence prior to April 11, 2005.
2. All subordinate elements of the applicant's organization must be included in the application.
3. An applicant is eligible only if the operational practices associated with all of its major organizational functions are examinable in the United States or its territories. For eligibility purposes, overseas

U.S. military installations and embassies do not constitute U.S. territories. If some of an applicant's activities are performed outside its immediate organization (e.g., by overseas components, a parent organization, or other subunits), it must ensure that

- in the event of a site visit, the appropriate personnel and materials will be available for examination in the United States to document operational practices in all major organizational functions; and
- in the event the applicant receives the Award, the applicant will be able to share information on the seven Criteria Categories at The Quest for Excellence Conference and at its U.S. facilities. Sharing beyond The Quest for Excellence Conference is on a voluntary basis.

B. Subunits

For the purposes of the 2006 Award Application, a subunit means a unit or division of a larger organization. The larger organization that owns, holds, or has organizational or financial control of a subunit will be referred to as the "parent." A parent is the highest level of an organization that would be eligible to apply for the Award.

The following requirements pertain to subunits:

1. A subunit must be self-sufficient enough to be examined in all seven Criteria Categories.
2. A subunit must have a clear definition of "organization" as reflected in organization literature, such as organization charts, administrative manuals, and annual reports; be recognizable as a discrete entity; and be easily distinguishable from the parent or other subunits of the parent.
3. The subunit must function as a business or operational entity, not as a collection of activities aggregated for the purposes of writing an Award application.
4. A subunit must provide more than 50 percent of its products and/or services directly to customers external to the applying organization, its parent, and organizations controlled by the applicant or parent. Business subunits must derive revenue for those goods and services directly from its external customers rather than from its parent or organizations controlled by the

parent; a subunit that is not paid directly by its external customers is considered an "internal supplier" and is ineligible.

5. Subunits that perform only support functions are ineligible.

Examples of business support functions are sales, marketing, distribution, finance and accounting, human resources, environmental services, health and safety services, purchasing, legal services, and research and development.

Examples of education support functions are academic resource and development centers, student advising units, counseling units, food services, health services, housing, libraries, safety services, information technology resources, environmental services, finance and accounting, human resources, public relations, and purchasing.

Examples of health care support functions are housekeeping, radiology, member services, finance and accounting, billing, human resources, purchasing, legal services, and research and development.

6. **Manufacturing and service subunits of parents with >500 employees.** For a subunit to be eligible, 50 percent or more of its products or services must be sold or provided directly to customers/users outside the applicant's organization, its parent organization, and other organizations that own or have financial or organizational control of the applicant or parent.

In addition, the subunit itself

- must have more than 500 employees, OR
- it must have at least 25 percent of all employees in the worldwide operations of the parent, OR
- it must meet one of the requirements listed in VI.B.7, below.

7. **All business subunits regardless of parent size.** Business subunits with fewer than 500 employees and less than 25% of all employees in the worldwide operations of the parent are eligible in the small business category if

- the applicant subunit was independent prior to being acquired by the parent and continues to operate independently under its own identity, OR

- the applicant subunit is separately incorporated and distinct from other subunits of the parent.

(Business subunits meeting only VI.B.7 are eligible in the small business category.)

C. Multiple-Application Restrictions

1. A subunit and its parent may submit Eligibility Certification Packages in the same year but may not apply for the Award in the same year.
2. All subunits of a parent may submit Eligibility Certification Packages. However, there are restrictions on the number of subunits that may apply for the Award in the same year. If the parent organization, including all of its subunits, has
 - 0–1,000 employees, one applicant per parent per category may submit an Award Application Package;
 - 1,001–20,000 employees, two applicants per parent per category may submit an Award Application Package; or
 - more than 20,000 employees, two applicants per parent per category for the first 20,000, plus one per 20,000 or fraction thereof above 20,000 per parent per category, may submit an Award Application Package.

No more than five applicants (all Award categories combined) per parent will be accepted.

3. In the event of multiple submissions for the Award from subunits of the same parent beyond the limits noted in VI.C.2 above, the parent organization will be given the option of deciding which subunit(s) will represent it in the Award process. Alternatively, if the parent organization does not choose representative subunits, the applications with the earliest postmarks will be designated the applicants for the Award.

D. Restrictions on Award Recipients

If an organization or a subunit that has more than 50 percent of the total employees of the

parent receives an Award, the organization and all its subunits are ineligible to apply for another Award for a period of five years. If a subunit receives an Award, that subunit and all its subunits are ineligible to apply for another Award for a period of five years. For example, an applicant that received the Award in 2004 may not reapply until 2010.

After five years, Award recipients are eligible to reapply for the Award or to apply for feedback only. If a former Award recipient selects the option to apply for feedback only (see items 5b and 5c on the 2006 Eligibility Certification Form, page 13), the organization will not be eligible to receive the Award for that year. Its application will proceed through the stages of the Award process, but the applicant will receive only a feedback report, outlining its strengths and opportunities for improvement based on the Criteria for Performance Excellence.

VII. Other Requirements

A. Site Visit Requirements

If some activities are performed outside the applicant's organization (e.g., by an overseas component of the applicant, the parent organization, or its other subunits), the applicant, if selected for a site visit, must make available in the United States sufficient personnel, documentation, and facilities to allow a full examination of its operational practices for all major functions of its worldwide operations.

B. Requirement for Award Recipients to Share Information

In the event that the applicant receives the Award, the applicant must be able to share nonproprietary information on the seven Criteria Categories at The Quest for Excellence Conference and at its U.S. facilities. Sharing beyond The Quest for Excellence Conference is on a voluntary basis.

2006 Eligibility Certification Form—Instructions

1. Applicant

Provide the applicant's official name, which will be used to make the role model determination. (See pages 3–4.) Also, provide any other names by which the applicant may be known publicly and its previous name if there has been a name change within the last five years. Provide the address of the applicant's headquarters. Indicate if your organization has submitted an Eligibility Certification Package in prior years, and if so, when it was submitted and the name of the organization at that time.

2. Highest-Ranking Official

Provide the necessary contact information requested for the applicant's highest-ranking official.

3. Eligibility Contact Point

After the receipt of the 2006 Eligibility Certification Form and associated materials, it may be necessary to contact the applicant for additional information. Please designate a person who is knowledgeable about the organization and its structure and who will be available to answer inquiries during the month following submission of the Eligibility Certification Form.

4. Alternate Eligibility Contact Point

In the event that the Eligibility Contact Point is not available, an Alternate Eligibility Contact Point will be needed to answer questions or convey a message to the Eligibility Contact Point. Designate a person who will be available during the month following submission of the Eligibility Certification Form.

5. Applicant Status

- Indicate whether or not the applicant has existed for at least one year, or prior to April 11, 2005.
- Indicate whether or not the applicant has ever been an Award recipient. If you check "No," proceed to item 6.
- Indicate whether your organization was an Award recipient in 2000 or earlier. If you check "No," your organization is not eligible to reapply this year for the Award or for feedback. If you check "Yes," indicate whether you are applying for feedback only or for the Award by checking the appropriate response.

6. Award Category and For-Profit/Nonprofit Designation

Based on the information given on pages 5–6 of this document, indicate which of the five Award categories is appropriate and which of the three Criteria (*Criteria for Performance Excellence*, *Education Criteria for Performance Excellence*, or *Health Care Criteria for Performance Excellence*) will be used to prepare the application. Also indicate whether the applicant is a for-profit or nonprofit organization.

7. Industrial Classification

Using the three- or four-digit NAICS codes listed on page 24, provide up to three codes that best describe the applicant's products and/or services.

8. Size and Location of Applicant

- Provide the total number of employees, faculty, and/or staff as of April 11, 2006.
- Check the appropriate financial descriptor (sales, revenues, or budgets) and the appropriate range for the preceding fiscal year.
- Indicate the number of the applicant organization's sites. Offices or other work areas located near each other need not be counted as separate sites if they are considered to be one location for business and personnel purposes.
- State the approximate percentage (to the nearest whole number) of the applicant's employees who are located in the United States or its territories.
- State the approximate percentage (to the nearest whole number) of the applicant's physical assets located in the United States or its territories.
- Check the appropriate response.
- Check the appropriate response.
- Attach a line and box organization chart for the applicant. In each box, include the name of the unit or division and its head.

9. Subunits

If the applicant is a subunit of a larger organization, responses to 9a through 9j are required; otherwise, go to question 10.

- Check all that apply.

9. Subunits—continued

- b. Provide the name and address of the parent (the highest level of an organization eligible to apply for the Award) and the name and title of the highest-ranking official of the parent. Provide the number of worldwide employees of the parent, including all subunits. Do not include joint ventures of the parent.
- c. Check the appropriate response. If two or more subunits from the parent are planning to apply for the Award, provide a brief explanation.
- d. Briefly describe the major functions provided to the applicant by the parent or by other subunits of the parent.
- e. Check the appropriate response to indicate the applicant's ability to respond to all seven Baldrige Criteria Categories.
- f. Provide the name and date of the official document (and provide a copy of relevant portions) showing clear definition of the applicant as a discrete entity.

Note: Applicants supplying a Web site for the documentation supporting their status as a subunit must print out the relevant Web pages and submit these with their eligibility application.

- g. Briefly describe the applying unit's organizational structure and management links to the parent.

Attach a line and box organization chart(s) showing the relationship of the applicant to the highest management level of the parent, including all intervening levels. In each box, include the name of the unit or division and its head.

- h. Check the appropriate responses. If neither of the "Yes" boxes is checked, (1) provide a brief description of how the market and product(s) or service(s) are similar; (2) indicate the organizational relationships of all units that provide similar or identical products or services, including the approximate sales, revenues, or budgets for each; and (3) describe how the applicant is different from its parent and the other subunits of the organization (e.g., differences in market, location, or name).
- i. **Manufacturing and service subunits of parents with >500 employees:** Check the appropriate box for each question.
- j. **All business subunits, regardless of parent size:** Check the appropriate box for each question.

Note: If self-certification is based on the subunit being independent prior to being acquired and continuing to operate independently under its own

identity, provide a copy of an official document to support this response.

Note: If self-certification is based on the subunit being separately incorporated and distinct from other subunits of the parent, provide a copy of an official document (e.g., articles of incorporation) to support this response.

Note: If all answers to "i" and "j" are "No," contact the Baldrige Office at (800) 898-4506.

10. Supplemental Sections

Check the appropriate response. If the second option is selected, the Eligibility Contact Point will be contacted. Applicants may have two or more diverse product and/or service lines (i.e., in different NAICS codes) with customers, types of employees, technology, planning, and quality systems that are so different that the application report alone does not allow sufficient detail for a fair examination. Such applicants may submit one or more supplemental sections (see page 25) in addition to the application report. The use of supplemental sections must be approved during the eligibility certification process and is mandatory once approved.

11. Application Format

Indicate if your organization intends to submit your application on (1) 25 paper copies (due date May 25, 2006) or (2) a CD (due date May 11, 2006).

12. Confidentiality Considerations

Check "Yes" if you authorize Examiners to use cell phones, cordless phones, and VoIP to discuss your application. Check "No" if you do not wish Examiners to use these technologies during the evaluation process.

For additional information, see 2006 Changes on page i.

13. Self-Certification Statement, Signature of the Highest-Ranking Official

Provide the signature of the applicant's highest-ranking official. This signature acknowledges that the answers provided are accurate and also certifies that the applicant is eligible based on the requirements for the 2006 Malcolm Baldrige National Quality Award. If the applicant's organization is selected for a site visit and it is discovered that one or more of the responses in the Eligibility Certification Form are inaccurate, the applicant will no longer be eligible for the Award. However, the applicant will be eligible for feedback on its organization.

14. Eligibility Certification Filing Fee

Enclose a \$150 nonrefundable fee to cover the cost of the eligibility certification filing process. Make the check or money order payable to

Malcolm Baldrige National Quality Award.

You also may pay by VISA, MasterCard, or American Express.

15. Nomination to the Board of Examiners

Provide the requested information if your Eligibility Certification Package is postmarked on or before March 10, 2006, and you wish to nominate a senior member of your organization for the Board of Examiners.

After completing the Eligibility Certification Form, complete the 2006 Additional Information Needed Form (page 20) and include both forms and the Eligibility Certification Filing Fee in your Eligibility Certification Package.

Malcolm Baldrige National Quality Award

OMB Clearance #0693-0006
Expiration Date: January 31, 2007**1. Applicant**

Official Name _____ Headquarters Address _____

Other Name _____

Prior Name _____

Has the applicant self-certified for eligibility in a prior year(s)?

☐ Yes ☐ No ☐ Do Not Know

If "yes," indicate the year(s) in which the applicant submitted the Eligibility Certification Package and the name(s) of the applicant at that time, if different.

Year(s) _____

Name(s) of Applicant _____

2. Highest-Ranking Official☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Name _____ Address _____

Title _____

Telephone No. _____

E-Mail _____ Fax No. _____

3. Eligibility Contact Point☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Name _____ Address _____

Title _____

Telephone No. _____ Overnight Mailing Address (Do not use a P.O. Box number.) _____

Fax No. _____

E-Mail _____

4. Alternate Eligibility Contact Point☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Name _____

Telephone No. _____

Fax No. _____

5. Applicant Status

a. Has the applicant officially or legally existed for at least one year, or prior to April 11, 2005? (Check one.)

☐ Yes ☐ NoIf you are unable to respond to any item,
please contact the Baldrige National Quality Program Office at (800) 898-4506 before submitting your form.

Malcolm Baldrige National Quality Award**5. Applicant Status—continued**

b. Has your organization ever been a Malcolm Baldrige National Quality Award recipient? *(Check one.)*

☐ Yes ☐ No

If you checked “No,” proceed to item 6.

c. If yes, was your organization an Award recipient in 2000 or earlier? *(Check one.)*

☐ Yes ☐ No

If you checked “No,” your organization is not eligible to reapply this year for the Award or for feedback (please contact the Baldrige National Quality Program Office at 800-898-4506 if you have any questions). If you checked “Yes,” please choose one of the following options:

☐ Applying for feedback only ☐ Applying for the Malcolm Baldrige National Quality Award

6. Award Category and For-Profit/Nonprofit Designation *(Check as appropriate.)*

☐ Manufacturing (For-Profit Only) ☐ Education (For-Profit) ☐ Health Care (For-Profit)

☐ Service (For-Profit Only) ☐ Education (Nonprofit) ☐ Health Care (Nonprofit)

☐ Small Business (For-Profit Only)

Criteria being used: *(Check one.)*

☐ *Criteria for Performance Excellence*

☐ *Education Criteria for Performance Excellence*

☐ *Health Care Criteria for Performance Excellence*

Note: For-profit education and health care organizations may choose to use the Criteria for Performance Excellence and apply in the service or small business categories. However, they probably will find their sector-specific Criteria (Education Criteria for Performance Excellence or Health Care Criteria for Performance Excellence) more appropriate.

7. Industrial Classification

List up to three of the most descriptive three- or four-digit NAICS codes. *(See page 24 of the PDF version of the Baldrige Award Application Forms at www.baldrige.nist.gov/Award_Application.htm.)*

a. _____ b. _____ c. _____

8. Size and Location of Applicant

a. Total number of

- employees (business) _____
- faculty/staff (education) _____
- staff (health care) _____

b. For the preceding fiscal year,

- check one financial descriptor: ☐ Sales ☐ Revenues ☐ Budgets
- check the range: ☐ 0–\$1M ☐ \$1M–\$10M ☐ \$10M–\$100M ☐ \$100M–\$500M
☐ \$500M–\$1B ☐ More than \$1B

**If you are unable to respond to any item,
please contact the Baldrige National Quality Program Office at (800) 898-4506 before submitting your form.**

Malcolm Baldrige National Quality Award**8. Size and Location of Applicant—continued**

- c. Number of sites: U.S./Territories _____ Outside U.S./Territories _____
- d. Percentage of employees: U.S./Territories _____ Outside U.S./Territories _____
- e. Percentage of physical assets: U.S./Territories _____ Outside U.S./Territories _____
- f. Operational practices associated with all major organizational functions must be accessible for examination in the United States. If some activities are performed outside the applicant's organization (e.g., by a component of the applicant that is outside the United States or its territories, the parent organization, or its other subunits), will the applicant, if selected for a site visit, make available in the United States sufficient personnel, documentation, and facilities to allow full examination of its operational practices for all major functions of its worldwide operations?
- ☐ Yes ☐ No ☐ Not Applicable
- g. In the event the applicant receives an Award, can the applicant make available sufficient personnel and documentation to share its practices at The Quest for Excellence Conference and at its U.S. facilities?
- ☐ Yes ☐ No
- h. Attach a line and box organization chart for the applicant. In each box, include the name of the unit or division and its head.

9. Subunits *(If the applicant is not a subunit as defined on pages 7–8, please proceed to question 10.)*

- a. Is the applicant _____ a larger parent or system? *(Check all that apply.)*
- ☐ a subsidiary of ☐ controlled by ☐ administered by ☐ owned by
☐ a division of ☐ a unit of ☐ a school of
- b. Parent organization ("Parent" means the highest organizational level eligible to apply for the Award.)
- | | |
|---|--------------------------------|
| Name _____ | Highest-Ranking Official _____ |
| Address _____ | Name _____ |
| _____ | Title _____ |
| Number of worldwide employees of the parent _____ | |
- c. Is the applicant the only subunit of the parent organization intending to apply? *(Check one.)*
- ☐ Yes ☐ No *(Briefly explain)* ☐ Do Not Know
- d. Briefly describe the major functions provided to the applicant by the parent or by other subunits of the parent. Examples of such functions include but are not limited to strategic planning, business acquisition, research and development, data gathering and analysis, human resources, legal services, finance or accounting, sales/marketing, supply chain management, global expansion, information and knowledge management, education/training programs, information systems and technology services, curriculum and instruction, and academic program coordination/development.

**If you are unable to respond to any item,
 please contact the Baldrige National Quality Program Office at (800) 898-4506 before submitting your form.**

Malcolm Baldrige National Quality Award

9. Subunits—continued

- e. Is the applicant self-sufficient enough to respond to all seven Baldrige Criteria Categories?

☐ Yes ☐ No (*Briefly explain.*)

- f. Provide the name and date of the official document (e.g., annual report, organization literature, press release) supporting the subunit designation. **Attach relevant portions** of the document showing clear definition of the applicant as a discrete entity.

Note: Applicants supplying a Web site as documentation must print the relevant pages and include these with the application.

Name of the Document _____

Date _____

- g. Briefly describe the organizational structure and relationship to the parent.

Attach a line and box organization chart(s) showing the relationship of the applicant to the highest management level of the parent, including all intervening levels. Each box within the chart should include the name of the head of the unit or division.

- h. Is the applicant's product or service unique within the parent organization? (*Check one.*)

☐ Yes ☐ No

If "No," do other units within the parent provide the same products or services to a different customer base? (*Check one.*)

☐ Yes ☐ No

If neither of the "Yes" boxes in "h" is checked, complete 1, 2, and 3 below.

- (1) Provide a brief description of how the market and product(s) or service(s) are similar.
- (2) Indicate the organizational relationships of all units that provide similar or identical products or services, including the approximate sales, revenues, or budgets for each.
- (3) Describe how the applicant is different from its parent and the other subunits of the organization (e.g., differences in market, location, or name).

**If you are unable to respond to any item,
please contact the Baldrige National Quality Program Office at (800) 898-4506 before submitting your form.**

Malcolm Baldrige National Quality Award**9. Subunits—continued****i. Manufacturing and service subunits of parents with >500 employees, only.**

- Are more than 50 percent of the applicant's products or services sold or provided directly to customers outside the applicant's organization, the parent organization, and organizations controlled by the applicant or the parent? *(Check one.)*
☐ Yes ☐ No
- Does the applicant have more than 500 employees? *(Check one.)*
☐ Yes ☐ No
- Do the applicant's employees make up more than 25 percent of the worldwide employees of the parent? *(Check one.)*
☐ Yes ☐ No

j. All business subunits, regardless of parent size.

- Was the applicant independent prior to being acquired, and does it continue to operate independently under its own identity? *(Check one.)*
☐ Yes ☐ No ☐ Not Applicable

Note: If self-certification is based on the subunit being independent prior to being acquired and continuing to operate independently under its own identity, attach relevant portions of an official document to support this response.

- Is the applicant separately incorporated and distinct from other subunits of the parent? *(Check one.)*
☐ Yes ☐ No

Note: If self-certification is based on the subunit being separately incorporated and distinct from other subunits of the parent, attach relevant portions of an official document (e.g., articles of incorporation) to support this response.

Note: If all answers to "i" and "j" are "No," contact the Baldrige Office at (800) 898-4506 before submitting your form.

10. Supplemental Sections *(Check one.)*

- ☐ The applicant has (a) a single performance system that supports all of its product and/or service lines and (b) products or services that are essentially similar in terms of customers/users, technology, types of employees, and planning.
- ☐ The applicant has (a) multiple performance systems that support all of its product and/or service lines and/or (b) products or services that are not essentially similar in terms of customers/users, technology, types of employees, and planning.

If you checked the second option, please describe briefly the differences among the multiple performance systems of your organization in terms of customers, types of employees, technology, planning, and quality systems.

Note: The applicant's Eligibility Contact Point will be contacted if the second option is checked. Applicants may have two or more diverse product and/or service lines (i.e., in different NAICS codes) with customers, types of employees, technology, planning, and quality systems that are so different that the application report alone does not allow sufficient detail for a fair examination. Such applicants may submit one or more supplemental sections in addition to the application report. The use of supplemental sections must be approved during the eligibility certification process and is mandatory once approved.

**If you are unable to respond to any item,
please contact the Baldrige National Quality Program Office at (800) 898-4506 before submitting your form.**

Malcolm Baldrige National Quality Award**11. Application Format**

If your organization applies for the 2006 Award, in which format would you submit the Application Package?
(Check one.)

☐ 25 paper copies (due date May 25, 2006)

☐ CD (due date May 11, 2006)

12. Confidentiality Considerations

Baldrige Examiners are authorized to use cell phones, cordless phones, and VoIP to discuss your application.

☐ Yes

☐ No

13. Self-Certification Statement, Signature of the Highest-Ranking Official

I state and attest that

- (1) I have reviewed the information provided by my organization in this Eligibility Certification Package.
- (2) to the best of my knowledge,
 - no untrue statement of a material fact is contained in this Eligibility Certification Package, and
 - no omission of a material fact has been made in this package.
- (3) based on the information herein and the current eligibility requirements for the Malcolm Baldrige National Quality Award, my organization is eligible to apply.
- (4) I understand that at any time during the 2006 Award Process cycle, if the information is found not to support eligibility, my organization will no longer receive consideration for the Award and will receive only a feedback report.

Signature of Highest-Ranking Official

Date

Printed Name

14. Eligibility Certification Filing Fee

Enclose a \$150 nonrefundable fee to cover the cost of the eligibility certification filing process. Make the check or money order payable to

Malcolm Baldrige National Quality Award.

You also may pay by VISA, MasterCard, or American Express. Please indicate the method of payment below:

☐ Check or money order (enclosed) ☐ VISA ☐ MasterCard ☐ American Express

Credit Card Number

Authorized Signature

Expiration Date

Printed Name

Billing Address for Credit Card

Today's Date

**If you are unable to respond to any item,
please contact the Baldrige National Quality Program Office at (800) 898-4506 before submitting your form.**

Malcolm Baldrige National Quality Award

15. Nomination to the Board of Examiners

One senior member from each organization whose Eligibility Certification Package is **postmarked on or before March 10, 2006**, may become a member of the 2006 Board of Examiners. The opportunity to learn and the required commitment of time are substantial. The time commitment is a minimum of 110 hours between April and December (including approximately 40 hours in April/May to complete prework for the Examiner Preparation Course, 4 days in May to attend the Examiner Preparation Course, and another 35–50 hours in June to complete a Stage 1, Independent Review). If requested by the Program, Examiners also are expected to participate in the Stage 2, Consensus Review (approximately 25 hours) and Stage 3, Site Visit Review (approximately 9 days).

Nominees must be citizens or permanent residents of the United States and be located in the United States or its territories.

☐ _____ from our organization will serve on the 2006 Board of Examiners.
Name of Senior Member Nominee*

*Please, no substitutions after April 11, 2006.

Nominee's contact information:

☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Nominee's Title _____

Name of Nominee's Organization _____

Nominee's Home Address _____

Nominee's Work Address _____

Work Phone _____

Home Phone _____

Work Fax _____

Home Fax _____

Work E-Mail Address _____

Home E-Mail Address _____

If you are unable to respond to any item,
please contact the Baldrige National Quality Program Office at (800) 898-4506 before submitting your form.

2006 Additional Information Needed Form—Instructions

1. Site Listing and Descriptors

Provide the complete address of each site. In cases where many sites perform the same function, aggregate the sites under one listing and make a summary statement about the locations instead of listing an address for each one. If a site visit is conducted, a more detailed listing will be requested when the visit is planned. If the applicant has foreign sites, these sites must be included on the form. Duplicate the Site Listing and Descriptors page if all sites cannot be listed on a single page. The application report must address activities in foreign sites in the appropriate Items. Although no site visits will be conducted at facilities outside the United States or its territories, these facilities may be contacted by teleconference or video conference.

Check the appropriate type(s) of employees (employees, faculty, and/or staff). Some organizations may have both faculty and staff. Provide the **number and type** of employees at each site. See the example on page 1 of the Additional Information Needed Form.

Check the appropriate financial descriptor (sales, revenues, or budgets). Provide the approximate

percentage of sales, revenues, or budgets accounted for by the output of each site. Use “Not Applicable” (N/A) for percentage of sales, when appropriate.

2. Key Business/Organization Factors

Provide the following information, limiting your answers to the space provided on the form.

For the purposes of the 2006 Award Application, “key” means those organizations that constitute 5 percent or more of the applicant’s competitors, customers/users, or suppliers/partners.

- A. List of key competitors
- B. List of key customers/users
- C. List of key suppliers/partners
- D. Description of the applicant’s major markets (local, regional, national, and international)
- E. The name of the organization’s financial auditor
- F. The applicant’s fiscal year

Malcolm Baldrige National Quality Award

The following information is needed by the Malcolm Baldrige National Quality Program Office to avoid conflicts of interest when assigning Examiners to evaluate your application and by Examiners in performing their evaluations.

I. Site Listing and Descriptors

Please refer to the instructions on page 19 of this document to complete this Site Listing and Descriptors form. It is important that the totals for the number of employees, faculty, and/or staff; percentage of sales, revenues, or budgets; and sites on this form match the totals provided in response to 8a, 8b, and 8c on pages 2 and 3 of the 2006 Eligibility Certification Form. For example, if you report 600 employees in response to question 8a, the total number of employees provided in the Site Listing and Descriptors form should be 600 (see example below). Duplicate the Site Listing and Descriptors page if all sites cannot be listed on a single page.

EXAMPLE

| Address of Site(s) | Number <input type="checkbox"/> Employees <input checked="" type="checkbox"/> Faculty <input checked="" type="checkbox"/> Staff | Percentage <input type="checkbox"/> Sales <input type="checkbox"/> Revenues <input checked="" type="checkbox"/> Budgets | For each site, describe the relevant products, services, and/or technologies. |
|------------------------------|---|---|--|
| Coyote Hall 85 Campus Way | 381 Faculty 200 Staff | 95% | Administrative headquarters, instructional and educational services |
| Cactus Hall 85 IT Parkway | 17 Faculty 2 Staff | 5% | Satellite campus for information technology instruction, including a technology lab |

| Address of Site(s) | Number <input type="checkbox"/> Employees <input type="checkbox"/> Faculty <input type="checkbox"/> Staff <i>(Check one or more above, and list below the number at each site.)</i> | Percentage <input type="checkbox"/> Sales <input type="checkbox"/> Revenues <input type="checkbox"/> Budgets <i>(Check one above, and list below the % at each site.)</i> | For each site, describe the relevant products, services, and/or technologies. |
|---------------------------|--|--|--|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

Provide all the information for each site, except where multiple sites produce similar products or services. For multiple site cases, refer to 8c on page 3 of the Eligibility Certification Form. Also, see the 2006 Eligibility Certification Form—Instructions on page 9 of this document.

Use as many additional copies of this form as needed to include all sites.

**If you are unable to respond to any item,
please contact the Baldrige National Quality Program Office at (800) 898-4506 before submitting your form.**

Malcolm Baldrige National Quality Award**2. Key Business/Organization Factors**

List, briefly describe, or identify the following key organization factors. Be as specific as possible to help us avoid real or perceived conflicts of interest when assigning Examiners to evaluate your application. “Key” means those organizations that constitute 5 percent or more of the applicant’s competitors, customers/users, or suppliers.

A. List of key competitors

B. List of key customers/users

C. List of key suppliers/partners

D. Description of the applicant’s major markets (local, regional, national, and international)

E. The name of the organization’s financial auditor

F. The applicant’s fiscal year (e.g., October 1–September 30)

**If you are unable to respond to any item,
please contact the Baldrige National Quality Program Office at (800) 898-4506 before submitting your form.**

Malcolm Baldrige National Quality Award**1. Eligibility Certification Form**

- a. Have all questions been answered completely?
☐ Yes ☐ No
- b. Is a line and box organization chart(s) included that shows all components of the applicant organization and the name of the head of each unit or division?
☐ Yes ☐ No
- c. If the applicant is a subunit of a larger organization, is a line and box organization chart(s) included that show the relationship of the applicant to the highest management level of the parent, including all intervening levels?
☐ Yes ☐ No ☐ N/A
- d. If the applicant is a subunit of a larger organization, is a copy of appropriate pages from organization literature enclosed showing clear definition of the applicant as a discrete entity?
☐ Yes ☐ No ☐ N/A
- e. Is the Eligibility Certification Form signed by the highest-ranking official?
☐ Yes ☐ No

2. Additional Information Needed Form

- Have all questions been answered completely?
☐ Yes ☐ No

3. Eligibility Certification Filing Fee

- Is a check or money order made payable to the **Malcolm Baldrige National Quality Award** (or credit card information) included for the \$150 nonrefundable eligibility certification filing fee?
☐ Yes ☐ No

4. Date of Submission and Examiner Nomination

- Is the Eligibility Certification Package being submitted on or before March 10, 2006?
☐ Yes ☐ No

If “Yes” has been checked, is your organization nominating a senior representative to serve on the 2006 Board of Examiners? The opportunity to learn and the required commitment of time are substantial. The time commitment is a minimum of 110 hours between April and December (including approximately 40 hours in April/May to complete prework for the Examiner Preparation Course, 4 days in May to attend the Examiner Preparation Course, and another 35–50 hours in June to complete a Stage 1, Independent Review). If requested by the Program, Examiners also are expected to participate in the Stage 2, Consensus Review (approximately 25 hours) and Stage 3, Site Visit Review (approximately 9 days).

☐ Yes ☐ No

5. Send the completed Eligibility Certification Package to

Malcolm Baldrige National Quality Award
c/o ASQ
600 North Plankinton Avenue
Milwaukee, WI 53203
(414) 298-8789, extension 7205

The 2006 Eligibility Certification Package must be postmarked on or before April 11, 2006, to be considered for the 2006 Award. If a question arises about the deadline having been met, a dated receipt from the postal or overnight carrier will be required. Applicants are encouraged to submit the form well ahead of the deadline to avoid delays.

North American Industry Classification System (NAICS) Codes

Please insert NAICS codes most relevant to your organization's products and/or services on the first page of the Eligibility Certification Form. If you wish to access the NAICS codes on-line, connect to www.census.gov, select "Subjects A to Z," select "N," select "North American Industry Classification System (NAICS)."

| Code | Sector | Code | Sector | Code | Sector |
|------|--|------|---|------|---|
| 111 | Crop Production | 444 | Building Material and Garden Equipment and Supplies Dealers | 611 | Educational Services |
| 112 | Animal Production | 445 | Food and Beverage Stores | 6111 | Elementary and Secondary Schools |
| 113 | Forestry and Logging | 446 | Health and Personal Care Stores | 6112 | Junior Colleges |
| 115 | Support Activities for Agriculture and Forestry | 447 | Gasoline Stations | 6113 | Colleges, Universities, and Professional Schools |
| 211 | Oil and Gas Extraction | 448 | Clothing and Clothing Accessories Stores | 6114 | Business Schools and Computer and Management Training |
| 212 | Mining (except Oil and Gas) | 451 | Sporting Goods, Hobby, Book, and Music Stores | 6115 | Technical and Trade Schools |
| 213 | Support Activities for Mining | 452 | General Merchandise Stores | 6116 | Other Schools and Instruction |
| 221 | Utilities | 453 | Miscellaneous Store Retailers | 6117 | Educational Support Services |
| 236 | Construction of Buildings | 454 | Nonstore Retailers | 621 | Ambulatory Health Care Services |
| 237 | Heavy and Civil Engineering Construction | 481 | Air Transportation | 6211 | Offices of Physicians |
| 238 | Specialty Trade Contractors | 482 | Rail Transportation | 6212 | Offices of Dentists |
| 311 | Food Manufacturing | 483 | Water Transportation | 6213 | Offices of Other Health Practitioners |
| 312 | Beverage and Tobacco Product Manufacturing | 484 | Truck Transportation | 6214 | Outpatient Care Centers |
| 313 | Textile Mills | 485 | Transit and Ground Passenger Transportation | 6215 | Medical and Diagnostic Laboratories |
| 315 | Apparel Manufacturing | 486 | Pipeline Transportation | 6216 | Home Health Care Services |
| 316 | Leather and Allied Product Manufacturing | 487 | Scenic and Sightseeing Transportation | 6219 | Other Ambulatory Health Care Services |
| 321 | Wood Product Manufacturing | 488 | Support Activities for Transportation | 622 | Hospitals |
| 322 | Paper Manufacturing | 491 | Postal Service | 623 | Nursing and Residential Care Facilities |
| 323 | Printing and Related Support Activities | 492 | Couriers and Messengers | 711 | Performing Arts, Spectator Sports, and Related Industries |
| 324 | Petroleum and Coal Products Manufacturing | 493 | Warehousing and Storage | 712 | Museums, Historical Sites, and Similar Institutions |
| 325 | Chemical Manufacturing | 511 | Publishing Industries (except Internet) | 713 | Amusement, Gambling, and Recreation Industries |
| 326 | Plastics and Rubber Products Manufacturing | 512 | Motion Picture and Sound Recording Industries | 721 | Accommodation |
| 327 | Nonmetallic Mineral Product Manufacturing | 515 | Broadcasting (except Internet) | 722 | Food Services and Drinking Places |
| 331 | Primary Metal Manufacturing | 516 | Internet Publishing and Broadcasting | 811 | Repair and Maintenance |
| 332 | Fabricated Metal Product Manufacturing | 517 | Telecommunications | 812 | Personal and Laundry Services |
| 333 | Machinery Manufacturing | 521 | Monetary Authorities—Central Bank | 813 | Religious, Grantmaking, Civic, Professional, and Similar Organizations |
| 334 | Computer and Electronic Product Manufacturing | 522 | Credit Intermediation and Related Activities | 814 | Private Households |
| 335 | Electrical Equipment, Appliance, and Component Manufacturing | 523 | Securities, Commodity Contracts, and Other Financial Investments and Related Activities | 921 | Executive, Legislative, and Other General Government Support |
| 336 | Transportation Equipment Manufacturing | 524 | Insurance Carriers and Related Activities | 922 | Justice, Public Order, Safety Activities |
| 337 | Furniture and Related Product Manufacturing | 525 | Funds, Trusts, and Other Financial Vehicles | 923 | Administration of Human Resource Programs |
| 339 | Miscellaneous Manufacturing | 531 | Real Estate | 924 | Administration of Environmental Quality Programs |
| 423 | Merchant Wholesalers, Durable Goods | 532 | Rental and Leasing Services | 925 | Administration of Housing Programs, Urban Planning, and Community Development |
| 424 | Merchant Wholesalers, Nondurable Goods | 533 | Lessors of Nonfinancial Intangible Assets (except Copyrighted Works) | 926 | Administration of Economic Programs |
| 425 | Wholesale Electronic Markets and Agents and Brokers | 541 | Professional, Scientific, and Technical Services | 927 | Space Research and Technology |
| 441 | Motor Vehicle and Parts Dealers | 551 | Management of Companies and Enterprises | 928 | National Security and International Affairs |
| 442 | Furniture and Home Furnishings Stores | 561 | Administrative and Support Services | 999 | Unclassified Establishments |
| 443 | Electronics and Appliance Stores | 562 | Waste Management and Remediation Services | | |

2006 Award Application Package—Instructions

Instructions for responding to the Criteria and writing the Organizational Profile are included in each of the three Criteria booklets. Use the Criteria appropriate for your eligibility category: the *Criteria for Performance Excellence*, *Education Criteria for Performance Excellence*, or *Health Care Criteria for Performance Excellence*.

I. Purpose

The purpose of this section is to provide eligible applicants with instructions for preparing the Award Application Package. These instructions describe content, format, assembly, and submission requirements.

II. Objective

The objective of the Award Application Package is for the applicant to provide sufficient information to enable the Board of Examiners to conduct a rigorous evaluation. Information is required on the applicant's performance management system and on the results of its processes. All information provided is considered confidential.

III. Content Requirements

A. Application Report—All Applicants

Only an application report (without supplemental sections) is required if an applicant has a single performance system that supports all of its product and/or service lines and if the products or services are essentially similar in terms of customers, technology, types of employees, planning, and quality systems. **(This is the case with most applicants.)** All units/subunits of the applicant must be included in the application report.

An application report must contain the following in the order listed:

- front cover—blank (no text, pictures, or figures) to help ensure confidentiality
- title page
- each of the following sections separated by a labeled tab or a divider page. Please divide and label the sections accordingly.
 - Table of Contents
 - 2006 Eligibility Certification Form and Additional Information Needed Form
 - organization chart(s)
 - 2006 Application Form (page 1 only)
 - Glossary of Terms and Abbreviations
 - Organizational Profile (five pages or less)

- Responses Addressing All Criteria Items (50 pages or less)
- Summary of Supplemental Sections, if applicable (two pages or less—see information under “III. B. Supplemental Sections”)
- back cover—blank

B. Supplemental Sections

In order to maintain an equivalent level of detail for all sizes and types of applicants, certain applicants may need to provide supplemental sections. Supplemental sections are intended to permit applicants with highly complex organizations and performance systems to describe them in sufficient detail to permit a rigorous examination. Supplemental sections may be required if the applicant has two or more diverse product and/or service lines (i.e., in different NAICS codes) with customers, technology, types of employees, planning, and quality systems that are so different that the application report alone will not allow sufficient detail for a fair examination.

The use of supplemental sections must be approved during the eligibility certification process. Once supplemental sections are approved, they **must** be submitted by the applicant. If both an application report and supplemental section(s) are submitted, the application report should cover the largest aggregation of similar product and/or service lines that are supported by a single performance system. Together, the application report and the supplemental section(s) must cover all products and/or services and all performance systems of the applicant. Each supplemental section must contain the following in the order listed:

- front cover—blank (no text, pictures, or figures)
- title page
- labeled tabs or divider pages (see III.A)
- Table of Contents
- organization chart(s)
- Summary of Supplemental Sections (two pages or less)
- Glossary of Terms and Abbreviations
- Organizational Profile (five pages or less)
- Responses Addressing All Criteria Items (35 pages or less)
- back cover—blank

IV. Application Report Components

Organizations may submit either 25 paper copies of the application report or a CD with the application report in PDF printable format. The content and format requirements of the application report, whether submitted on 25 paper copies or in CD/PDF format, are identical.

Note: If 25 paper copies are submitted, the package must be postmarked no later than May 25, 2006. If a CD is submitted, the package must be postmarked on or before May 11, 2006. See page 29 for requirements for CD submission.

The application report must contain the following in the order listed.

- A. **Front Cover**—blank (no text, pictures, or figures).
- B. **Title Page** with the name of the applicant. Applicants also have the option to include their address, pictures, and logo; the date; a statement indicating that this is an application for the 2006 Malcolm Baldrige National Quality Award; and/or a statement regarding confidentiality of content. No further information or text about the applicant may be included on this page.
- C. **Labeled Tabs or Divider Pages** separating the sections of the report and containing only the title of the section. No further information, pictures, or text about the applicant may be included on the tabs or divider pages, or they will count toward the 50-page limit. The following tabs/divider pages must be included: Table of Contents, 2006 Eligibility Certification Form and Additional Information Needed Form, organization chart(s), 2006 Application Form, Glossary of Terms and Abbreviations, Organizational Profile, and Responses Addressing All Criteria Items.
- D. **Table of Contents** indicating the page numbers of the following: the 2006 Eligibility Certification Form and Additional Information Needed Form, the organization chart(s), the 2006 Application Form, the Glossary of Terms and Abbreviations, the Organizational Profile, and each Category and Item. Pagination for Areas to Address, tables, and figures does not need to be included in the Table of Contents.
- E. **2006 Eligibility Forms**
 - **2006 Eligibility Certification Form.** This is the signed/stamped form returned to the applicant by ASQ at the conclusion of the eligibility certification process.
 - **2006 Additional Information Needed Form.** This is the signed/stamped form returned to the applicant by ASQ at the

conclusion of the eligibility certification process.

Note: If submitting your application on a CD, see the instructions under “2. Application Report” on page 34.

F. Line and Box Organization Chart(s)

- **Applicant organization chart(s)** with sufficient detail for Examiners to understand the relationships among the applicant’s subunits. This is the signed/stamped form returned to the applicant by ASQ at the conclusion of the eligibility certification process.
- **(For subunit applicants, only) subunit organization chart(s)**, a line and box organization chart(s) of the parent/holding company showing where the applicant fits into the overall organization. This should be the signed/stamped form returned to the applicant by ASQ at the conclusion of the eligibility certification process.

G. 2006 Application Form

signed by the highest-ranking official, indicating that the applicant agrees to the terms and conditions of the Award process and, if chosen, agrees to host a site visit; facilitate an open and unbiased examination; pay reasonable costs associated with the site visit; and, if selected as an Award recipient, share information on successful performance excellence strategies with other U.S. organizations. (See page 32.)

H. Glossary of Terms and Abbreviations

used in the application report and each supplemental section.

I. Organizational Profile

outlining the applicant’s organization and addressing what is most important to the organization, as well as the key factors that influence how the organization operates and its future directions. A vital part of the overall application, the Organizational Profile is used by the Examiners in all stages of the application review.

J. Responses Addressing All Criteria Items

- Respond to each Item as a whole. Responses to the Areas to Address should emphasize the applicant’s organization and performance system. To facilitate review by the Board of Examiners, respond to the Areas in the order given in the Items. The responses must contain the same Category and Item numerical designations as the 2006 Criteria. Applicants should denote the Areas to Address with letters a, b, c, and so forth, corresponding to each Area, such as 4.2a. Responses for multiple Areas may be grouped (e.g., 4.2 a,b).

- If an Area to Address does not pertain to the applicant's organization or performance system, provide a statement of one or two sentences explaining why the Area is not applicable. The Item/Area designator should be used as described under format requirements.

K. If applicable, provide a **Summary of Supplemental Section(s)**—a brief description of each supplemental section, including the products, services, and NAICS codes. (See page 25, III.B.)

L. Back Cover—blank.

V. Format Requirements

Application reports and any supplemental sections must meet the page limit, typing, and format requirements indicated below, whether submitted on paper copies or in CD/PDF format.

A. Page Limits and Exclusions

1. The Organizational Profile for the application report and for each supplemental section is limited to the equivalent of five single-sided pages. If the Organizational Profile exceeds the five-page limit, the excess pages will be counted as part of the page count for the Responses Addressing All Criteria Items. Guidelines for preparing the Organizational Profile can be found in each of the Criteria booklets.
2. In the application report, the Responses Addressing All Criteria Items are limited to the equivalent of 50 single-sided pages, which must include all pictures, graphs, figures, tables, and appendices. The responses must contain the same Category and Item numerical designations as the 2006 Criteria. Applicants should denote the Areas to Address with letters a, b, c, and so forth, corresponding to each Area, such as 4.2a. Responses for multiple Areas may be grouped (e.g., 4.2 a,b).
3. Examiners must base their evaluations solely on information contained within the application report. Do not add links to information on intranet or Web sites.
4. In supplemental sections, the Responses Addressing All Criteria Items are limited to 35 single-sided pages.
5. The covers and divider pages/tab separators, which should contain only the title of the specified subject (i.e., Table of Contents,

2006 Eligibility Certification Form and Additional Information Needed Form, organization chart(s), 2006 Application Form, Glossary of Terms and Abbreviations, Organizational Profile, Responses Addressing All Criteria Items), will not be counted as part of the page limit in either the application report or supplemental section(s). However, if these pages contain any additional material, such as text, quotations, graphs, figures, data tables, or pictures, they will be considered part of the 50 pages of the Responses Addressing All Criteria Items.

6. If the Responses Addressing All Criteria Items exceed the 50-page limit, the applicant's Official Contact Point will be asked to identify which pages will be removed.
7. The Summary of Supplemental Sections, if applicable, is limited to the equivalent of two single-sided pages. If the summary exceeds the two-page limit, the excess will be counted as part of the page count for the Responses Addressing All Criteria Items.

B. Paper size: standard 8½ x 11 inches

C. Typing—for an example, see
www.baldrige.nist.gov/Landmark.htm.

1. Font Size

- Use either a fixed pitch font of 12 or fewer characters per inch
OR
- a proportional spacing font of point size 10 or larger.

A typical document produced in Times New Roman 10 point font will satisfy this requirement.

2. Line Spacing: Use an equivalent of two points of lead between lines. *Note: One point of lead equals 1/72, or 0.0138 inch.*
3. Font Style: Any font style may be used that meets the font size and line spacing requirements, but Helvetica and Times New Roman or equivalent styles are preferred.
4. Type used in picture captions, graphs, figures, data tables, and appendices also must meet the requirements for font size and line spacing. If the table or graph is reduced from its original size for inclusion, applicants must use larger type sizes in preparing the original so that the reduced material in the application report meets the font size requirements.

Font style and/or size need not be uniform throughout the application report so long as all styles and sizes meet the requirements.

D. Format—for an example, see

www.baldrige.nist.gov/Landmark.htm.

1. The number of lines per page must not exceed 60, including the page headings. A blank line separating paragraphs is counted as a line.
2. Margins of at least $\frac{3}{4}$ inch on the side of the page that is bound or fastened and at least $\frac{1}{2}$ inch on the opposite side of the page are preferred.
3. Pages set up in a two-column format are preferred. Pages may be printed on both sides. (The total number of pages is limited to the equivalent of 50 single-sided pages for the Responses Addressing All Criteria Items and five single-sided pages for the Organizational Profile.)
4. Text pages should have portrait orientation. Graphs, figures, and data tables may have either portrait or landscape orientation.

E. Numbering

The pages of the Responses Addressing All Criteria Items must be numbered consecutively from start to finish, e.g., 1, . . . , 50. Blank pages and tabs/divider pages should not be numbered. All figures should be numbered in sequence within each Item and Category, such as Figure P.1-1 or Figure 2.1-1.

VI. Assembly Requirements

- A.** For paper copies, all components of the application report and supplemental section(s) **must be securely fastened to prevent separation during handling**. The use of clips or binders with easily opened pressure-sensitive clips is discouraged. Supplemental section(s) must be bound separately from the application report. If the application report is submitted in CD/PDF format, it will be printed in color and bound with a comb binding.
- B.** The use of bulky binders or similar heavy covers is discouraged.
- C.** Video and audio tapes or other information aids are not acceptable and may not be included.

VII. Submission Requirements

A. Applicants must submit a 2006 Award Application Package containing

- (1) either 25 individually bound paper copies of the complete application report (and, if appropriate, 25 individually bound copies of every supplemental section) or a CD containing the complete application report (and any supplemental sections) in PDF printable format

Note: Only one paper copy of page 2 of the Application Form should be submitted with your Application Package, or you may provide the information on page 2 to ASQ by calling (414) 298-8789, extension 7205.

- (2) a check or money order covering the application fees for the application report and, if appropriate, every supplemental section. **An additional processing fee of \$1,250 is required if you are submitting the application report on a CD.** Fees are discussed in the Application Form Instructions on page 30 of this document. The check or money order should be made payable to the **Malcolm Baldrige National Quality Award**.

Note: Payment also may be made by credit card. Indicate the method of payment on the 2006 Application Form.

- B.** The 2006 Award Application Package must be postmarked or consigned to an overnight delivery service no later than May 25, 2006 (May 11, 2006, if on a CD) to be eligible for a 2006 Award. If a question arises about the deadline having been met, the applicant will be asked to supply a dated receipt from the postal or overnight carrier. The Baldrige National Quality Program reserves the right to return incomplete submissions or submissions that do not meet the requirements given in the sections entitled “Content Requirements” and “Format Requirements” along with the application fee.

Send the complete 2006 Award Application Package to

Malcolm Baldrige National Quality Award

c/o ASQ—Baldrige Award Administration
600 North Plankinton Avenue
Milwaukee, WI 53203
(414) 298-8789, extension 7205

Requirements for Submitting an Application Report on a CD

Applications submitted on a CD must be postmarked on or before May 11, 2006.

1. You must use a CD-R, not a CD-RW.
2. The application report must be a single, complete PDF file, not multiple PDF files on the CD.
3. Scan in the date-stamped eligibility forms and chart(s) received from ASQ, OR include on the CD an electronic version that is not date-stamped and provide one paper copy of the date-stamped documents.
4. Complete and scan page 1 of the 2006 Application Form into the PDF file. (Do not include page 2 of the 2006 Application Form in your PDF file. Instead, submit one paper copy of page 2 with your Application Package, OR you may provide the information requested on page 2 to ASQ by calling [414] 298-8789, extension 7205).
5. Select the “embed fonts” option when creating the PDF file.
6. Insert page breaks and labeled divider pages between sections in the electronic file, as described
7. Proof your PDF file to ensure that it does not reflow onto extra pages and that all information, charts, graphs, etc., are appropriately retained.
8. When preparing the CD, please organize the disc so that it can be read from a standard CD-ROM drive.
9. Verify the content and number of pages and that it prints properly (as the image on the screen is sometimes not what appears in print).
10. An additional processing fee of \$1,250 is required if submitting the application report on a CD.
11. Documents will be printed on a laser-type copier/printer at 600 x 600 resolution.

2006 Application Form—Instructions

Instructions

Provide all information requested. A copy of page 1 of the 2006 Application Form must be included in each of the 25 paper copies of the application report (or on a CD). One paper copy of page 2 of the Application Form must be submitted with your Application Package, or you may provide the information on page 2 to ASQ by calling (414) 298-8789, extension 7205.

1. Applicant

Provide the official name and mailing address of the organization applying for the Award.

2. Award Category

From the 2006 Eligibility Certification Form, indicate the eligibility category under which the applicant was certified and which Criteria booklet is being used.

3. Official Contact Point

As the examination proceeds, the applicant may need to be contacted for additional information or for arrangements for a site visit. Further communications between the applicant and the Baldrige National Quality Program will be limited to this Official Contact Point or the Alternate Official Contact Point (see 4, below). The designated Official Contact Point should have both in-depth knowledge of the organization and a good understanding of the organization's application. Designate a person with authority who will be available to provide additional information, answer inquiries, and arrange a site visit, if necessary.

If the Official Contact Point changes during the course of the application process, please inform the Baldrige National Quality Program.

4. Alternate Official Contact Point

In the event that the Official Contact Point is not available, the Alternate Official Contact Point will be contacted to answer questions or to convey a message to the Official Contact Point. Please designate a person who will be available during regular business hours.

5. Release and Ethics Statements

a. Release Statement. Please read this section carefully.

b. Ethics Statement and Signature of the Highest-Ranking Official. The applicant's highest-ranking official must sign in the space

provided, indicating that the applicant agrees to the terms and conditions stated in the Release Statement. In addition, the highest-ranking official's signature attests that no untrue statement of a material fact is contained in the Application Package and no omission of a material fact that is legally disclosable and affects organizational ethical and legal practices has been made. Type below the signature the person's name and title, the applicant's name, and the highest-ranking official's address, telephone number, and fax number, as indicated.

6. Confidential Information. In lieu of completing the confidential information on page 2 of the Application Form, you may provide the information by calling ASQ at (414) 298-8789, extension 7205.

a. Social Security Number and Date of birth of the Highest-Ranking Official. If your application is selected for Stage 3 review, this information will be used in a background check as part of the process for determining role model organizations.

b. Application Fees. Fee payment must be submitted with the application. The fees for the application report are

- \$5,000 for manufacturing and service businesses, for-profit education organizations, and for-profit and nonprofit health care organizations with more than 500 employees;
- \$2,000 for small businesses, for-profit education organizations, and for-profit and nonprofit health care organizations with 500 or fewer employees; and
- \$500 for nonprofit education organizations.

Note: If submitting the application on a CD, add an additional \$1,250 processing fee.

The fee for each supplemental section is

- \$2,000 for manufacturing and service businesses, for-profit education organizations, and for-profit and nonprofit health care organizations with more than 500 employees;
- \$1,000 for small businesses, for-profit education organizations, and for-profit and nonprofit health care organizations with 500 or fewer employees; and
- \$250 for nonprofit education organizations.

Make the check or money order payable to

Malcolm Baldrige National Quality Award.

You also may pay by VISA, MasterCard, or American Express. Indicate in the space provided on the 2006 Application Form the method of payment, and provide the card number, expiration date, printed name and signature of the cardholder, billing address, and date signed.

7. Submission

The complete Award Application Package must be postmarked or consigned to an overnight delivery service no later than May 25, 2006 (May 11, 2006, if submitted on a CD) for delivery to

Malcolm Baldrige National Quality Award
c/o ASQ—Baldrige Award Administration
600 North Plankinton Avenue
Milwaukee, WI 53203
(414) 298-8789, extension 7205

Malcolm Baldrige National Quality Award

Provide all information requested. A copy of page 1 of this 2006 Application Form must be included in each of the 25 paper copies of the application report (or, alternatively, in the PDF version on a CD).

1. Applicant

Applicant Name _____

Mailing Address _____

2. Award Category *(Check one.)*

☐ Manufacturing ☐ Service ☐ Small Business
☐ Education ☐ Health Care

For small businesses, indicate whether the larger percentage of sales is in service or manufacturing. *(Check one.)*

☐ Manufacturing ☐ Service

Criteria being used *(Check one.)*

☐ Business ☐ Education ☐ Health Care

3. Official Contact Point

☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Name _____

Title _____

Mailing Address _____

Overnight Mailing Address
(Do not use P.O. Box number.) _____

Telephone No. _____

Fax No. _____

4. Alternate Official Contact Point

☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Name _____

Telephone No. _____

Fax No. _____

5. Release and Ethics Statements**a. Release Statement**

We understand that this application will be reviewed by members of the Board of Examiners.

Should our organization be selected for a site visit, we agree to host the site visit and to facilitate an open and unbiased examination. We understand that our organization must pay reasonable costs associated with a site visit. The site visit fees range from \$1,500 to \$35,000, depending on the type of applicant. (The fees are shown on page 4.)

If our organization is selected to receive an Award, we agree to share nonproprietary information on our successful performance excellence strategies with other U.S. organizations.

b. Ethics Statement and Signature of the Highest-Ranking Official

I state and attest that

(1) I have reviewed the information provided by my organization in this Application Package.

(2) to the best of my knowledge,

- no untrue statement of a material fact is contained in this Application Package, and
- no omission of a material fact that I am legally permitted to disclose and that affects my organization's ethical and legal practices has been made. This includes but is not limited to sanctions and ethical breaches.

Date _____

Signature _____

☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Printed Name _____

Title _____

Applicant Name _____

Mailing Address _____

Telephone No. _____

Fax No. _____

Malcolm Baldrige National Quality Award

6. Confidential Information

Please note: To help ensure the confidentiality of the information requested, submission requirements for this page (page 2) of your Application Form differ from those for page 1 of the form and for the application report. Whether you submit 25 paper copies or a CD of your application report, one completed **paper** copy of page 2 may be submitted with your Award Application Package, or the information may be telephoned to ASQ at (414) 298-8789, extension 7205. *Do **not** include this page (page 2) in the 25 copies of your application report.*

a. Social Security Number and Date of Birth of the Highest-Ranking Official

If your application is selected for Stage 3 review, this information will be used in the process for determining role model organizations (See pages 3–4.).

Name _____

Social Security Number _____

Date of Birth _____

b. Application Fees (see page 30 for instructions)

Enclosed is \$_____ to cover one application report and _____ supplemental sections.

Note: An additional \$1,250 is required if you are submitting the application report on a CD.

Make the check or money order payable to

Malcolm Baldrige National Quality Award.

You also may pay by VISA, MasterCard, or American Express. Please indicate your method of payment below:

☐ Check or money order (enclosed)

☐ VISA ☐ MasterCard ☐ American Express

Credit Card Number _____

Expiration Date _____

Today's Date _____

Billing Address for Credit Card _____

Authorized Signature _____

Printed Name _____

7. Submission

The complete Award Application Package must be postmarked or consigned to an overnight delivery service no later than May 25, 2006 (May 11, 2006, if submitting on a CD) for delivery to

Malcolm Baldrige National Quality Award
c/o ASQ—Baldrige Award Administration
600 North Plankinton Avenue
Milwaukee, WI 53203
(414) 298-8789, extension 7205

2006 Award Application Package Checklist

Malcolm Baldrige National Quality Award

1. Award Application Package

Does the Application Package include 25 individually bound paper copies of your application report and, if appropriate, 25 individually bound copies of every supplemental section?

☐ Yes ☐ No

Alternatively, does the Application Package include a CD containing the PDF version of the application report in printable format? (See page 29 for requirements for CD submission.)

☐ Yes ☐ No

2. Application Report

Does each of the 25 paper copies of the application report (or the CD version) contain the following sections separated by labeled tabs or divider pages?

- blank front cover ☐ Yes ☐ No
- title page ☐ Yes ☐ No
- Table of Contents ☐ Yes ☐ No
- 2006 Eligibility Certification Form and Additional Information Needed Form (date-stamped copies from ASQ)* ☐ Yes ☐ No
- organization chart(s) (date-stamped copy from ASQ)* ☐ Yes ☐ No
- 2006 Application Form (page 1 only)** ☐ Yes ☐ No
- Glossary of Terms and Abbreviations ☐ Yes ☐ No
- Organizational Profile (five pages or less) ☐ Yes ☐ No
- Responses Addressing All Criteria Items (50 pages or less) ☐ Yes ☐ No
- Summary of Supplemental Sections, if applicable (two pages or less—see information on page 25 under “III.B Supplemental Sections”) ☐ Yes ☐ No
- blank back cover ☐ Yes ☐ No

*If the application report is on a CD, either scan in the date-stamped forms and chart(s) OR include on the CD an electronic version that is not date-stamped and provide one paper copy of the date-stamped documents in your application package. Complete and scan page 1 of the 2006 Application Form into the PDF file.

** Do not include page 2 of the 2006 Application Form in your PDF file. Instead, submit one paper copy of page 2 of the Application Form with your Application Package, or you may provide the information on page 2 to ASQ by calling (414) 298-8789, extension 7205.

3. Page 2 of the Application Form

Did you include one paper copy of page 2 of the Application Form (if the information on the form has not been telephoned to ASQ)?

4. Application Fee

Have you included a check or money order made payable to the **Malcolm Baldrige National Quality Award** (or credit card information) for the nonrefundable application fee and, if appropriate, every supplemental section? (For fee information, see page 28 of this document.)

☐ Yes ☐ No

If submitting the application report on a CD, have you included the \$1,250 processing fee in your check or money order (or credit card information)?

☐ Yes ☐ No

5. Date of Submission

Is the Application Package being postmarked or consigned to an overnight delivery service no later than May 25, 2006 (May 11, 2006, if submitting on a CD)?

☐ Yes ☐ No

6. Send the completed Award Application Package to

Malcolm Baldrige National Quality Award
c/o ASQ
600 North Plankinton Avenue
Milwaukee, WI 53203
(414) 298-8789, extension 7205

The 2006 Award Application Package must be postmarked or consigned to an overnight delivery service on or before May 25, 2006 (or May 11, 2006, if submitted on a CD) to be considered for the 2006 Award. If a question arises about the deadline having been met, a dated receipt from the postal or overnight carrier will be required. Applicants are encouraged to submit the Award Application Package well ahead of the deadline to avoid delays.

How to Obtain Copies of Baldrige Program Materials

Individual Orders

This document and the Criteria booklets may be downloaded from our Web site at www.baldrige.nist.gov. In addition, paper copies of this document and individual copies of the Criteria booklets may be obtained free of charge from

Baldrige National Quality Program
National Institute of Standards and Technology
Administration Building, Room A600
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020
Telephone: (301) 975-2036
Fax: (301) 948-3716
E-mail: nqp@nist.gov

Bulk Orders

Multiple copies of the *2006 Criteria for Performance Excellence* booklets may be ordered in packets of 10 for \$39.95 plus shipping and handling from the American Society for Quality (ASQ).

2006 Criteria for Performance Excellence
Item Number T1510

2006 Education Criteria for Performance Excellence
Item Number T1511

2006 Health Care Criteria for Performance Excellence
Item Number T1512

How to Order

ASQ offers four convenient ways to order:

1. For fastest service, call toll free (800) 248-1946 in the United States and Canada (in Mexico, dial toll free 95-800-248-1946). Have item numbers, your credit card or purchase order number, and (if applicable) ASQ member number ready.
2. Or fax your completed order form to ASQ at (414) 272-1734.
3. Or mail your order to ASQ Customer Care Center, P.O. Box 3066, Milwaukee, WI 53201-3066.
4. Or order online by accessing ASQ's Web site at www.asq.org.

Payment

Your payment options include check, money order, U.S. purchase order, VISA, MasterCard, or American Express. Payment must be made in U.S. currency; checks and money orders must be drawn on a U.S. financial institution. All international orders must be prepaid. Please make checks payable to ASQ.

Shipping Fees

The following shipping and processing schedule applies to all orders within the United States and Canada.

| Order Amount | U.S. Charges | Canadian Charges |
|-----------------|--------------|------------------|
| Up to \$34.99 | \$ 4.25 | \$ 9.25 |
| \$35.00–\$99.99 | 6.50 | 11.50 |
| Over \$100.00 | 12.50* | 17.50* |

- There is a shipping and processing charge of 25 percent of the total order amount for shipments outside the United States and Canada.
- Orders shipped within the continental United States and Canada where UPS service is available will be shipped by UPS.
- Please allow one to two weeks for delivery. International customers, please allow six to eight weeks for delivery.
- Your credit card will not be charged until your items are shipped. Shipping and processing are charged one time, up front, for the entire order.

**If actual shipping charges exceed \$12.50 (\$17.50 Canadian), ASQ will invoice the customer for the additional expense.*

Baldrige Educational Materials

Each year, the Baldrige National Quality Program develops materials for training members of the Board of Examiners and for sharing information on the successful performance excellence strategies of the Award recipients. The following items are samples of the educational materials that are available.

Case Study Packets

Case study packets contain a case study and five additional documents: an executive summary, the related *Criteria for Performance Excellence* booklet, the case study scorebook, the case study feedback report, and a blank *Baldrige Scorebook*. The case studies, when used with the Criteria, are valuable resources to Award applicants and other users of the Criteria. They illustrate the Award application and review process and provide examples of how to respond to the Criteria requirements and format an application. Together, the case study packet documents furnish information on scoring, the examination processes, and much more. A variety of case study packets are available. The 2002, 2003, 2004, and 2005 case study packets are available only online. Case study packets from prior years are available online and in hard copy. For ordering information, see the next page.

2005 Business Case Study Packet: Landmark Dining, Inc. (based on the *2005 Criteria for Performance Excellence*)

Available only in e-format (PDF version) at www.baldrige.nist.gov/Landmark.htm

2004 Education Case Study Packet: Sandy Hill School District (based on the *2004 Education Criteria for Performance Excellence*)

Available only in e-format (PDF version) at www.baldrige.nist.gov/Sandy_Hill.htm

2003 Business Case Study Packet: GeoOrb Polymers, North America (based on the *2003 Criteria for Performance Excellence*)

Available only in e-format (PDF version) at www.baldrige.nist.gov/GeoOrb.htm

2002 Health Care Case Study Packet: Capstar Health System (based on the *2002 Health Care Criteria for Performance Excellence*)

Available only in e-format (PDF version) at www.baldrige.nist.gov/CapStar.htm

2001 Business Case Study Packet: TriView National Bank (based on the *2001 Criteria for Performance Excellence*)

Item Number T1091: \$49.95 plus shipping and handling

Also available in e-format (PDF version) at www.baldrige.nist.gov/TriView.htm

2000 Education Case Study Packet: Coyote Community College (based on the *2000 Education Criteria for Performance Excellence*)

Item Number T1090: \$49.95 plus shipping and handling

Also available in e-format (PDF version) at www.baldrige.nist.gov/Coyote.htm

Award Recipients DVD

The Award recipients DVD is a valuable resource for gaining a better understanding of performance excellence and quality achievement. The DVD provides background information on the Baldrige National Quality Program, highlights from the annual Award ceremony, and interviews with representatives from the Award recipients' organizations. Information on the 2005 Award recipients DVD is provided below.

2005—Item Number T1513 \$35.00
(Available May 2006)

How to Order Educational Materials

To order case study packets developed prior to 2002, bulk orders of the 2006 Criteria booklet, or the Award recipients DVD, contact

ASQ Customer Care Center
P.O. Box 3005
Milwaukee, WI 53201-3066
Telephone: (800) 248-1946
Fax: (414) 272-1734
E-mail: asq@asq.org
Web site: www.asq.org

The Quest for Excellence® XVIII Conference

Each year, The Quest for Excellence, the official conference of the Malcolm Baldrige National Quality Award, provides a forum for Baldrige Award recipients to share their exceptional performance practices with worldwide leaders in business, education, health care, and nonprofit organizations. The Quest for Excellence XVIII will showcase the year 2005 Award recipients.

For the last 17 years, executives, managers, and quality leaders have attended this conference to learn how these role model organizations have achieved performance excellence. Highest-ranking officials and other leaders from the Award recipient organizations give presentations covering all seven Categories of the Baldrige Criteria, their journey to performance excellence, and their lessons learned. At this three-day conference designed to maximize learning and networking opportunities, attendees will be able to interact with Award recipients.

The Quest for Excellence XVIII Conference will be held April 23–26, 2006, at the Hilton Washington in Washington, D.C. For further information, contact

Baldrige National Quality Program
National Institute of Standards and Technology
(NIST)
Administration Building, Room A600
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020
Telephone: (301) 975-2036
Fax: (301) 948-3716
E-mail: nqp@nist.gov

For a general overview of the Baldrige National Quality Program, visit its Web site: www.baldrige.nist.gov.

Paperwork Reduction Act Statement

Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

The reason for collecting this information is to allow organizations to apply for the Malcolm Baldrige National Quality Award (Award). The information obtained will assist in determining the Award recipients. Responses to the collection of information are required to be considered for the Award. Confidentiality of the submitted information is covered under the Freedom of Information Act to the extent possible under the law.

The public reporting burden for this collection is estimated to average 100 hours for the initial response of the first-time applicant (this includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the relevant data, and

completing and reviewing the collection of information). As the organization reapplies for the Award in future years, it is possible that this burden will change, in either direction, based on the feedback the respondent gains from its first application.

Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to

Dr. Harry Hertz, Director
Baldrige National Quality Program
NIST
Administration Building, Room A600
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020

and to

Office of Information and Regulatory Affairs
Office of Management and Budget
Washington, DC 20503

We are easy to reach. Our Web site is www.baldrige.nist.gov.

Baldrige National Quality Program

Baldrige National Quality Program
National Institute of Standards and Technology
Technology Administration
United States Department of Commerce
Administration Building, Room A600
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020

The National Institute of Standards and Technology (NIST), an agency of the U.S. Commerce Department's Technology Administration, manages the Baldrige National Quality Program (BNQP). For more than a century, NIST has helped to lay the foundation for the innovation, economic growth, and quality of life that Americans have come to expect. NIST technology, measurements, and standards help U.S. industry invent and manufacture superior products reliably, provide critical services, ensure a fair marketplace for consumers and businesses, and promote acceptance of U.S. products in foreign markets. NIST also partners with the private sector to accelerate the development of innovative technologies that promise significant commercial payoffs and widespread benefits for the nation. Through a network of nearly 400 assistance centers that serve all 50 states and Puerto Rico, NIST provides technical and business assistance to help smaller manufacturers overcome barriers to productivity and competitiveness.

Call BNQP or visit our Web site for

- information on improving the performance of your organization
- information on eligibility requirements for the Baldrige Award
- information on applying for the Baldrige Award
- information on becoming a Baldrige Examiner
- information on the Baldrige Award recipients
- individual copies of the Criteria for Performance Excellence—
Business, Education, and Health Care (no cost)
- information on BNQP educational materials
- case studies

Telephone: (301) 975-2036; Fax: (301) 948-3716; E-mail: nqp@nist.gov
Web site: www.baldrige.nist.gov

American Society for Quality
600 North Plankinton Avenue
Milwaukee, WI 53203

By making quality a global priority, an organizational imperative, and a personal ethic, the American Society for Quality (ASQ) becomes the community for everyone who seeks quality technology, concepts, or tools to improve themselves and their world. ASQ administers the Malcolm Baldrige National Quality Award under contract to NIST.

Call ASQ to order

- bulk copies of the Criteria
- Award recipients DVD

Telephone: (800) 248-1946; Fax: (414) 272-1734; E-mail: asq@asq.org
Web site: www.asq.org

excellence